EXHIBIT 3

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UNITED STATES OF AMERICA

SECURITIES AND EXCHANGE COMMISSION

ATTESTATION

I HEREBY ATTEST

that:

Attached is a copy of an amendment to Form BD, uniform application for broker-dealer registration, received in this Commission on January 12, 2001, under the name Bernard L. Madoff Investment Securities LLC, File No. 008-08132, pursuant to the provisions of the Securities Exchange Act of 1934.

on file in this Commission

06/05/2014

Date

LARRY MILLS

Digitally signed by LARRY MILLS
DN: e=US, o=U.S. Government, ou=Securities
and Exchange Commission, on=LARRY
MILLS,
0.9.2342.19200300.100.1.1=50001000026514
Date: 2014.06.05 11:41:47 -04'00'

Larry Mills, Management and Program Analyst

It is hereby certified that the Secretary of the U.S. Securities and Exchange Commission, Washington, DC, which Commission was created by the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.) is official custodian of the records and files of said Commission and was such official custodian at the time of executing the above attestation, and that he/she, and persons holding the positions of Deputy Secretary, Assistant Director, Records Officer, Branch Chief of Records Management, and the Program Analyst for the Records Officer, or anyone of them, are authorized to execute the above attestation.

For the Commission

Deputy Secretary

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FORM BD UNIFORM APPLICATION FOR BROKER-DEALER REGISTRATION

Primary Business Name: BERNARD L. MADOFF INVESTMENT SECURITIES LLC BD Number: 2625 BD - AMENDMENT

01/12/2001

Number and Street 1:

885 THIRD AVENUE

1

OMB Number			3235-0012		
Expires Estimated avera Response Amendment	age burdei	n hours per:	2.75		
ba pro Fe	sis, or the ovisions of deral secu	failure to keep law applying to rities laws and t	accurate books and records the conduct of business as	oplementary information on a timely or otherwise to comply with the a broker-dealer would violate the and may result in disciplinary,	
INTENTIONAL VIOLATIONS.	. MISSTA	TEMENTS OR C	DMISSIONS OF FACTS MA	Y CONSTITUTE CRIMINAL	
		CA	PPLICATION © AMENDM	ENT	
1. Exact name,	principal b	ousiness addres	s, mailing address, if differe	nt, and telephone number of applicat	nt:
			orietor, state last, first and mid SECURITIES LLC	ddle name):	
B. IRS Emp 13-19971		lo.:			
			er business primarily is cond ENT SECURITIES LLC	ucted, if different from Item 1A.	
		D, Page 1, Sec ss and where it		es any other name by which the firm	
the name	change is ant name	of the (1A) or \Box bus	on behalf of the applicant, e	nter the new name and specify whet	her
E. Firm mai	n address	6: (Do not use a	P.O. Box)		
	and Street D AVENUE		Number and Street 2:		
City: NEW YOR	kK	State: New York	Country: UNITED STATES	Zip/Postal Code: 10022	
F. Mailing A	ddress. i	f different:			

Number and Street 2:

08281076789 r f g m D 600692181-25-3 i i e ti i e ti i e d / 08/24/22 n t e r

Citv: State: Country: Zip/Postal Code: **NEW YORK** New York **UNITED STATES** 10022 **G. Business Telephone Number:** 212-230-2424 H. Contact Employee: Name: **Telephone Number:** PETER MADOFF DIRECTOR OF TRADING/CHIEF COMPLIANCE OFFICER 212-230-2424

BD - EXECUTION

EXECUTION:

For the purposes of complying with the laws of the State(s) designated in Item 2 relating to either the offer or sale of securities or commodities, the undersigned and *applicant* hereby certify that the *applicant* is in compliance with applicable state surety bonding requirements and irrevocably appoint the administrator of each of those State(s) or such other person designated by law, and the successors in such office, attorney for the *applicant* in said State(s), upon whom may be served any notice, process, or pleading in any action or *proceeding* against the *applicant* arising out of or in connection with the offer or sale of securities or commodities, or out of the violation or alleged violation of the laws of those State(s), and the *applicant* hereby consents that any such action or *proceeding* against the *applicant* may be commenced in any court of competent jurisdiction and proper venue within said State(s) by service of process upon said appointee with the same effect as if *applicant* were a resident in said State(s) and had lawfully been served with process in said State(s).

The applicant consents that service of any civil action brought by or notice of any proceeding before the Securities and Exchange Commission or any self-regulatory organization in connection with the applicant's broker-dealer activities, or of any application for a protective decree filed by the Securities Investor Protection Corporation, may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 1E and 1F.

The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said *applicant*. The undersigned and *applicant* represent that the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true and complete. The undersigned and *applicant* further represent that to the extent any information previously submitted is not amended such information is currently accurate and complete.

Date MM/DD/YYYY 01/12/2001

Name of Applicant

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

Authorized Signatory

PETER MADOFF

Title

CHIEF COMPLIANCE OFFICER

Subscribed and sworn before me this	day of	Year by	
Notary Public My commission expires	_ County of	State of	

BD - SECURITIES AND EXCHANGE COMMISSION

2. Indicate by checking the appropriate box(es) each governmental authority, organization, or *jurisdiction* in which the *applicant* is registered or registering as a broker-dealer.

V

If *applicant* is registered or registering with the SEC, check here and answer Items 2A through 2D below.

C Partnership

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				YES	NO
A. Is <i>applicant</i> registered or the Securities Exchange		aler under Section 15(b)	or Section 15B of	•	О
B. Is <i>applicant</i> registered or Exchange Act of 1934 an dealer?	registering as a broker-dea d also acting or intending to			0	•
C. Is <i>applicant</i> registered or Section 15C of the Secur	registering <u>solely</u> as a gove ities Exchange Act of 1934?		r or dealer under	O	•
Do not answer "yes" to I	tem 2C if applicant answere	d "yes" to Item 2A or Ite	em 2B.		
D. Is applicant ceasing its a	ctivities as a government se	ecurities broker or dealer	?	0	•
If applicant answers "yes" to registration as a governmen of 1934. See "Instructions."	t securities broker or dealer				Act
	SECURITY FUTURES PR	ODUCTS ACTIVITIES			
(Note: The field below is res registered broker-dealers. T content of such reporting.)				form	and
	BD - SRO / JUR	RISDICTION			
	BD - SELF REGULATOR	RY ORGANIZATIONS			
✓ NASD ☐ AR ☐ AMEX ☐ BX		☐ ISE ☑ NSX	☐ NYSE ☐ PHLX		
	BD - JURIS	DICTION			
✓ Alabama	☑ Illinois	✓ Montana	☐ Puerto Rico		
☑ Alaska	✓ Indiana	□ Nebraska	☑ Rhode Islan	d	
☑ Arizona	☑ Iowa	✓ Nevada	☑ South Carol	ina	
✓ Arkansas	▼ Kansas	New Hampshire	☑ South Dako	ta	
☑ California	Kentucky	New Jersey	▼ Tennessee		
▼ Colorado	✓ Louisiana	✓ New Mexico	☑ Texas		
☑ Connecticut	✓ Maine	✓ New York	☑ Utah		
☑ Delaware	✓ Maryland	✓ North Carolina	✓ Vermont		
☑ District of Columbia	✓ Massachusetts	✓ North Dakota	☐ Virginia		
▼ Florida	✓ Michigan	☑ Ohio	✓ Washington		
☑ Georgia	✓ Minnesota	☑ Oklahoma	✓ West Virgin		
☑ Hawaii	✓ Mississippi	☑ Oregon	☑ Wisconsin	-	
☑ Idaho	✓ Missouri	Pennsylvania	✓ Wyoming		
	BD - LEGAL	. STATUS			
3. A. Indicate legal status of	applicant:				
Corporation	Sole Proprietorship	0	Other (specify)		

C Limited Liability Company

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Pg & of 16

B. Month *applicant's* fiscal year ends: OCTOBER

C. If other than a sole proprietor, indicate date and place *applicant* obtained its legal status (i.e., state or country where incorporated, where partnership agreement was filed, or where *applicant* entity was formed):

State of formation: Country of formation: Date of formation: MM/DD/YYYY

Schedule A, Direct Owners and Executive Officers Section and, if applicable, Schedule B, Indirect Owners Section must be completed as part of all initial applications. Amendments to these schedules must be provided on Schedule C.

4. If applicant is a sole proprietor, state full residence address and Social Security Number.

Social Security Number:

xxx-xx-xxxx

4

Number and Street 1: Number

133 EAST 64TH STREET

Number and Street 2:

City: State: Country: Zip/Postal Code:

NEW YORK New York UNITED STATES OF AMERICA 10021

BD - SUCCESSION

	YES	NO
Is $applicant$ at the time of this filing $succeeding$ to the business of a currently registered broker-dealer?	⊙	0
Do not report previous successions already reported on Form BD.		
If "Yes," contact CRD prior to submitting form; complete appropriate items on Schedule D, Page 1, Section III.		

BD - ARRANGEMENTS

	Yes	No
6. Does <i>applicant</i> hold or maintain any funds or securities or provide clearing services for any other broker or dealer?	0	•
7. Does applicant refer or introduce customers to any other broker or dealer? If "yes," complete appropriate items on Schedule D, Page 1, Section IV, Arrangement Detail.	0	•
8. Does <i>applicant</i> have any arrangement with any other <i>person</i> , firm, or organization under which: A. any books or records of <i>applicant</i> are kept or maintained by such other <i>person</i> , firm or	_	•
organization? B. accounts, funds, or securities of the <i>applicant</i> are held or maintained by such other <i>person</i> , firm, or organization?	0	0

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C. accounts, funds, or securities of customers of the <i>applicant</i> are held or maintained by such other <i>person</i> , firm, or organization?	0	•
For purposes of 8B and 8C, do not include a bank or satisfactory control location as defined paragraph(c) of Rule 15c3-3 under the Securities Exchange Act of 1934 (17 CFR 240. 15c3-If "Yes" to any part of Item 8, complete appropriate items on Schedule D, Page 1, Section If Arrangement Detail.	·3).	
9. Does any <i>person</i> not named in Item 1 or Schedules A, B, or C, directly or indirectly:		
A. control the management or policies of the applicant through agreement or otherwise?	0	•
B. wholly or partially finance the business of applicant?	0	•
Do not answer "yes" to 9B if the person finances the business of the applicant through: 1) a public offering of securities made pursuant to the Securities Act of 1933; 2) credit extended the ordinary course of business by suppliers, banks, and others; or 3) a satisfactory subordination agreement, as defined in Rule 15c3-1 under the Securities Exchange Act of 1934 (17 CFR 240. 15c3-1). If "Yes" to any part of Item 9, complete appropriate items on Schedule D, Page 1, Section 1 Arrangement Detail.	l in	
BD - BUSINESS AFFILIATES		

BD - Control Affiliates		
	YES	NO
10. A. Directly or indirectly, does <i>applicant control</i> , is <i>applicant controlled</i> by, or is <i>applicant</i> under common <i>control</i> with, any partnership, corporation, or other organization that is engaged in the securities or investment advisory business?	•	0
If "Yes" to Item 10A, complete appropriate items on Schedule D, Page 2, Section V, Firm Affiliates.		
B. Directly or indirectly, is <i>applicant controlled</i> by any bank holding company, national bank, state member bank of the Federal Reserve System, state non-member bank, savings bank or association, credit union, or foreign bank?	0	•
If "Yes" to Item 10B, complete appropriate items on Schedule D, Page 3, Section VI, Bank Affiliates.		

BD - DISCLOSURE QUESTIONS

11. Use the appropriate DRP for providing details to "yes" answers to the questions in Item 11. Refer to

	the Explanation of Terms Section of Form BD Instructions for explanations of Italicized terms.		
	CRIMINAL DISCLOSURE		
Α.	In the past ten years has the applicant or a control affiliate:	YES	NO
	(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any <i>felony</i> ?	\circ	\odot
	(2) been <i>charged</i> with any <i>felony</i> ?	\circ	\odot
В.	In the past ten years has the <i>applicant</i> or a <i>control affiliate</i> : (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business,	0	⊙

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	or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?		
	(2) been <i>charged</i> with a <i>misdemeanor</i> specified in 11B(1)?	\circ	\odot
	REGULATORY ACTION DISCLOSURE		
C.	Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:	YES	NO
	(1) found the applicant or a control affiliate to have made a false statement or omission?	0	\odot
	(2) found the applicant or a control affiliate to have been involved in a violation of its regulations or statutes?	0	\odot
	(3) found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	O	\odot
	(4) entered an <i>order</i> against the <i>applicant</i> or a <i>control affiliate</i> in connection with an <i>investment-related</i> activity?	\circ	\odot
	(5) imposed a civil money penalty on the <i>applicant</i> or a <i>control affiliate</i> , or <i>ordered</i> the <i>applicant</i> or a <i>control affiliate</i> to cease and desist from any activity?	О	\odot
D.	Has any other federal regulatory agency, any state regulatory agency, or <i>foreign financial</i> regulatory authority:		
	(1) ever <i>found</i> the <i>applicant</i> or a <i>control affiliate</i> to have made a false statement or omission or been dishonest, unfair, or unethical?	0	\odot
	(2) ever found the applicant or a control affiliate to have been involved in a violation of investment-related regulations or statutes?	\circ	\odot
	(3) ever found the applicant or a control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	\odot
	(4) in the past ten years, entered an <i>order</i> against the <i>applicant</i> or a <i>control affiliate</i> in connection with an <i>investment-related</i> activity?	О	\odot
	(5) ever denied, suspended, or revoked the <i>applicant</i> 's or a <i>control affiliate</i> 's registration or license or otherwise, by <i>order</i> , prevented it from associating with an <i>investment-related</i> business or restricted its activities?	0	•
E.	Has any self-regulatory organization or commodities exchange ever:		
	(1) found the applicant or a control affiliate to have made a false statement or omission?	\circ	\odot
	(2) found the applicant or a control affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)?	⊙	0
	(3) found the applicant or a control affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?	0	\odot
	(4) disciplined the <i>applicant</i> or a <i>control affiliate</i> by expelling or suspending it from membership, barring or suspending its association with other members, or otherwise restricting its activities?	0	•
F.	Has the <i>applicant's</i> or a <i>control affiliate's</i> authorization to act as an attorney, accountant, or federal contractor ever been revoked or suspended?	0	\odot
G.	Is the <i>applicant</i> or a <i>control affiliate</i> now the subject of any regulatory <i>proceeding</i> that could result in a "yes" answer to any part of 11C, D, or E?	0	\odot
	CIVIL JUDICIAL ACTION DISCLOSURE		
Н	(1) Has any domestic or foreign court:	YES	NO
	(a) in the past ten years, <i>enjoined</i> the <i>applicant</i> or a <i>control affiliate</i> in connection with any <i>investment-related</i> activity?	0	•
	(b) ever found that the applicant or a control affiliate was involved in a violation of investment-related statutes or regulations?	0	•
	(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against the applicant or control affiliate by a state or foreign financial regulatory authority?	0	•

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	(2) Is the applicant or a control affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of 11H(1)?	0	•
	FINANCIAL DISCLOSURE		
I.	In the past ten years has the <i>applicant</i> or a <i>control affiliate</i> of the <i>applicant</i> ever been a securities firm or a <i>control affiliate</i> of a securities firm that: (1) has been the subject of a bankruptcy petition?	_	NO
		0	⊙
	(2) has had a trustee appointed or a direct payment procedure initiated under the Securities Investor Protection Act?	\circ	\odot
J.	Has a bonding company ever denied, paid out on, or revoked a bond for the applicant?	0	\odot
K.	Does the applicant have any unsatisfied judgments or liens against it?	0	•

	BD - TYPES OF BUSINESS						
aı	12. Check types of business engaged in (or to be engaged in, if not yet active) by <i>applicant</i> . Do not check any category that accounts for (or is expected to account for) less than 1% of annual revenue from th securities or investment advisory business.						
А	Exchange member engaged in exchange commission business other than floor activities.	□емс					
В	Exchange member engaged in floor activities.	□емғ					
С	Broker or dealer making inter-dealer markets in corporate securities over-the-counter.	☑IDM					
D	Broker or dealer retailing corporate equity securities over-the-counter.	□BDR					
E	Broker or dealer selling corporate debt securities.	□вdd					
F.	Underwriter or selling group participant (corporate securities other than mutual funds).	□usg					
G	Mutual fund underwriter or sponsor.	□MFU					
Н	Mutual fund retailer.	□MFR					
I.	1. U.S. government securities dealer.	□GSD					
	2. U.S. government securities broker.	□GSB					
J.	Municipal securities dealer.	□MSD					
K	Municipal securities broker.	□MSB					
L.	Broker or dealer selling variable life insurance or annuities.	□VLA					
М	. Solicitor of time deposits in a financial institution.	□ssl					
N	Real estate syndicator.	RES					
0	Broker or dealer selling oil and gas interests.	□ogi					
P.	Put and call broker or dealer or option writer.	□рсв					
Q	Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds).	□віа					

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	R. Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals).						
	S.	Investment advisory services.	ПІА	D			
	Т.	1. Broker or dealer selling tax shelters or limited partnerships in primary distributions.		ŀΡ			
		2. Broker or dealer selling tax shelters or limited partnerships in the secondary market.	Пта	S			
	U.	Non-exchange member arranging for transactions in listed securities by exchange member.	□NE	ΕX			
	٧.	Trading securities for own account.	₽TR	RA			
	W.	Private placement of securities.	□PL	Α.			
	Χ.	Broker or dealer selling interests in mortgages or other receivables.	\square MRI				
	Y. Broker or dealer involved in a networking, kiosk or similar arrangement with a:						
		1. bank, savings bank or association, or credit union.	□ви	AA			
		2. insurance company or agency	□IN	IA			
	Z.	Other (give details on Schedule D, Page 1, Section II, Other Business)	⊠oı	ГН			
			YES	NO			
13.		Does <i>applicant</i> effect transactions in commodity futures, commodities or commodity options as a broker for others or as a dealer for its own account?	0	•			
	В.	Does applicant engage in any other non-securities business?	\circ	•			
		If "yes", describe each other business briefly on Schedule D, Page 1, Section II, Other Business.					
		DD DIDECT OWNERS (EVECUTIVE OFFICERS					

BD - DIRECT OWNERS/EXECUTIVE OFFICERS

Are there any indirect owners of the *applicant* required to be reported on Schedule B?

C Yes O No

Ownership	NA - less than 5%	B- 10% but less than	D - 50% but less than		
Codes:		25%	75%		
	A - 5% but less than 10%	C - 25% but less than 50%	E - 75% or more		

Full Legal Name	DE/FE/I	Title or Status	Date Acquired	Own. Code	Control Person	PR	CRD #(or S.S.No., IRS Tax #, Emp. ID)
MADOFF, BERNARD LAWRENCE	I	SOLE MEMBER	01/2001	E	Υ	N	316687

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MADOFF, PETER	I	DIRECTOR OF	06/1969	NA	Υ	N	316688	
BARNETT		TRADING/CHIEF						
		COMPLIANCE OFFICER						

BD - INDIRECT OWNERS

No Information Filed

BD Schedule C - Amendments to Schedules A & B

In the Type of Amd. column, indicate "A" (addition), "D" (deletion), or "C" (change of information about the same person). Ownership Codes NA - less than 5% B - 10% but less than D - 50% but less than F - Other General are: 25% 75% **Partners** A - 5% but less than C - 25% but less than E - 75% or more 10% 50%

List below all changes to Schedule A: (DIRECT OWNERS AND EXECUTIVE OFFICERS)

Full Legal	DE/FE/I	Type of	Title or	Date	Own.	Control	PR	CRD # (or SSN, IRS	
Name		Amd.	Status	Acquired	Code	Person		Tax #, Emp. ID)	

No Information Filed

List below all changes to Schedule B: (INDIRECT OWNERS)

Full	DE/FE/I	Type of	Entity in Which	Status	Date	Own.	Control	PR	CRD # (or
Legal		Amd.	Interest is		Acquired	Code	Person		SSN, IRS Tax
Name			Owned						#, Emp. ID)

No Information Filed

BD - OTHER BUSINESS NAMES

No Information Filed

BD - OTHER BUSINESS

Briefly describe any other business (Item 12Z).

BERNARD L. MADOFF IS A MEMBER OF THE CINCINNATI STOCK EXCHANGE AND IS A DESIGNATED MARKET-MAKER ON THAT EXCHANGE, ENGAGED IN INTER-DEALER MARKET-MAKING ACTIVITIES.

Briefly describe any other non-securities business (Item 13B).

BD - SUCCESSIONS

Date of Succession: MM/DD/YYYY Name of Predecessor:

01/01/2001 **BERNARD L. MADOFF**

Firm CRD Number IRS Employer Identification Number (if SEC File Number (if 2625

any) any) 13-1997126 8-08132

Briefly describe details of the succession including any assets or liabilities not assumed by the successor.

EFFECTIVE JANUARY 1, 2001, PREDECESSOR WILL TRANSFER TO SUCCESSOR ALL OF PREDECESSOR'S ASSETS AND LIABILITIES, RELATED TO PREDECESSOR'S BUSINESS. THE TRANSFER WILL NOT RESULT IN ANY CHANGE IN OWNERSHIP OR CONTROL.

BD - ARRANGEMENTS / CONTROL PERSONS / FINANCING No Information Filed

BD - AFFILIATES							
	Business	i					
The details supplied relate to: Partnership, Corporation, or Organization Not MADOFF SECURITIES INTERNATIONAL LTD. The Partnership, Corporation, or Organization	CRD Number (if any)						
C controls applicant							
• is controlled by applicant							
C is under common <i>control</i> with <i>applicant</i> Business Address							
Street 1 12 BERKELEY STREET		Street 2					
City MAYFAIR	State	Country LONDON	Zip/Postal Code W1X58AD				
Effective Date (MM/DD/YYYY) 12/31/1998		Termination Date (MM/DD/YYYY)					
Is Partnership, Corporation or Organization foreign entity?	a	If Yes, provide country of domicile or incorporation UNITED KINGDOM					
⊙Yes CNo							
Activities of this Partnership, Corporation, o	r Organi	zation:					
Securities Activities	Yes	○ No					
Investment Advisory Activities	O Yes	⊙ No					
Briefly describe the <i>control</i> relationship BERNARD L. MADOFF OWNS 30.8% OF MADO COMPANY IN THE UNITED KINGDOM. THE COM							
BD	- BRANC	HES					
No Info	rmati	on Filed					

BD - CRIMINAL DRP

No Information Filed

BD - REGULATORY ACTION DRP

		O INITIAL OR O AMEN C, 11D, 11E, 11F or 11G o	DED response used to report f Form BD;
Check item(s) be	ing responded to:		
	Re	egulatory Action	
□11C(1)	□11C(5)	□11D(4)	□11E(3)
□11C(2)	□11D(1)	□11D(5)	□11E(4)

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□11C(3) □11C(4) Use a separate DRP for each	11D(2) 11D(3) th event or <i>proceedir</i>	□11E(1) ☑11E(2) ng. An event or proceeding	\Box 11F \Box 11G and may be reported for more than						
one <i>person</i> or entity using One event may result in m	ne <i>person</i> or entity using one DRP. File with a completed Execution Page. one event may result in more than one affirmative answer to Items 11C, 11D, 11E, 11F or 11G. Use only								
regulator, provide details t	ne DRP to report details related to the same event. If an event gives rise to actions by more than one egulator, provide details to each action on a separate DRP.								
t is not a requirement that documents be provided for each event or <i>proceeding</i> . Should they be provided, hey will not be accepted as disclosure in lieu of answering the questions on this DRP.									
only complete Part I of the control affiliate's appropria registered through the CRI	If a control affiliate is an individual or organization registered through the CRD, such control affiliate need only complete Part I of the applicant's appropriate DRP (BD). Details of the event must be submitted on the control affiliate's appropriate DRP (BD) or DRP (U4). If a control affiliate is an individual or organization not registered through the CRD, provide complete answers to all the items on the applicant's appropriate DRP (BD). The completion of this DRP does not relieve the control affiliate of its obligation to update its CRD records.								
PART I									
A. The <i>person(s)</i> or entity(ies) for whom this D	RP is being filed is (are):							
• The <i>Applicant</i>									
C Applicant and one	or more <i>control at</i>	ffiliates							
One or more <i>conti</i>	rol affiliates								
individuals, Last name,	First name, Middle na registered with the C	ame). CRD, provide the CRD nu	ne <i>control affiliate</i> below (for mber. If not, indicate "non-						
,									
\square This DRP should be longer associated with		BD record because th	e control affiliate(s) are no						
B. If the <i>control affiliate</i> is Form U4) or BD DRP to this DRP must be provided	the CRD System for	the CRD, has the <i>control</i> the event? If the answe	affiliate submitted a DRP (with r is "Yes," no other information on						
C Yes ⓒ No									
NOTE: The completion CRD records.	of this form does <u>no</u>	t relieve the <i>control affili</i>	ate of its obligation to update its						
PART II	ART II								
1. Regulatory Action initia	ted by:								
C SEC C Other Fedo (Full name of regulator NATIONAL ASSOCIATION	, foreign financial reg	gulatory authority, federa	al, state, or <i>SRO</i>)						
2. Principal Sanction: Censure Other Sanctions:									

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3.	Date Initiated (MM/DD/YYYY):
	07/01/1963
	If not exact, provide explanation:
4.	Docket/Case Number: COMPLAINT NO. NY-802
	COMPLAINT NO. INT-802
5.	Control Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):
6.	Principal Product Type:
	No Product Other Product Types:
	other Froduct Types.
7.	Describe the allegations related to this regulatory action. (The information must fit within the space provided.)
	VIOLATION OF NASD RULES 2230 AND 2110
8.	
•	Current status ? Pending On Appeal Final
9.	If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:
Ιf Ι	Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.
10	. How was matter resolved: Decision
11	Resolution Date (MM/DD/YYYY):
	11/08/1963 © Exact C Explanation
	If not exact, provide explanation:
12	Resolution Detail:
	A. Were any of the following Sanctions Ordered? (Check all appropriate items): Amount: \$ 500.00
	- Honetary, Time
	Revocation/Expulsion/Denial Disgorgement/Restitution
	✓ Censure
	B. Other Sanctions Ordered:
	B. Other Sanctions Ordered:
	C. Sanction detail: if suspended, <i>enjoined</i> or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against <i>applicant</i> or <i>control affiliate</i> , date paid and if any portion of penalty was waived:
	FINED IN THE AMOUNT OF \$500 AND ASSESSED COSTS OF THE PROCEEDING IN THE AMOUNT OF \$60.65. THE FINE AND COSTS OF THE PROCEEDINGS WERE PAID IN FULL IN NOVEMBER 1963.

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13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates. (The information must fit within the space provided.) THE FINDING OF A VIOLATION OF NASD RULE 2230 WAS LIMITED TO A TECHNICAL INFRACTION.							
			an CINITIAL OR CAMENDE 1C, 11D, 11E, 11F or 11G of F				
Che	eck item(s) being res	ponded to:					
			Regulatory Action				
	11C(1)	□11C(5)	□11D(4)	□11E(3)			
	11C(2)	□11D(1)	□11D(5)	□11E(4)			
	11C(3)	□11D(2)	□11E(1)	□11F			
	11C(4)	□11D(3)	☑11E(2)	□11 G			
			eding. An event or proceeding m h a completed Execution Page.	nay be reported for more than			
one		related to the sam	mative answer to Items 11C, 11 e event. If an event gives rise to a separate DRP.				
			rovided for each event or <i>procee</i> u of answering the questions on	eding. Should they be provided, a this DRP.			
onl cor reg (BI	y complete Part I of the ntrol affiliate's appropria pistered through the CRI	e <i>applicant's</i> appro ate DRP (BD) or D D, provide comple		event must be submitted on the an individual or organization <u>not</u> he <i>applicant's</i> appropriate DRP			
PAI	RT I						
Α.	The <i>person(s)</i> or entity((ies) for whom this	s DRP is being filed is (are):				
	• The Applicant						
	C Applicant and one	or more <i>contro</i>	l affiliates				
	One or more <i>cont</i>	rol affiliates					
If this DRP is being filed for a <i>control affiliate</i> , give the full name of the <i>control affiliate</i> below (for individuals, Last name, First name, Middle name). If the <i>control affiliate</i> is registered with the CRD, provide the CRD number. If not, indicate "non-registered" by checking the appropriate checkbox.							
	This DRP should be		the BD record because the <i>co</i>	ontrol affiliate(s) are no			
B. If the <i>control affiliate</i> is registered through the CRD, has the <i>control affiliate</i> submitted a DRF Form U4) or BD DRP to the CRD System for the event? If the answer is "Yes," no other inform this DRP must be provided.							
	C Yes [⊙] No						
	NOTE: The completion CRD records.	of this form does	not relieve the control affiliate of	of its obligation to update its			

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PART II		
1.	Regulatory Action initiated by: OSEC Other Federal OState OSRO OF Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, or SRO) NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.	
2.	Principal Sanction: Other Other Sanctions: FINE	
3.	Date Initiated (MM/DD/YYYY): 11/22/1974	
4.	Docket/Case Number: N-NV-86	
5.	Control Affiliate Employing Firm when activity occurred which led to the regulatory action (if applicable):	
6.	Principal Product Type: No Product Other Product Types:	
7.	Describe the allegations related to this regulatory action. (The information must fit within the space provided.) INFORMATION NO LONGER AVAILABLE DUE TO AGE OF THE COMPLAINT.	
8.	S. Current status ? C Pending C On Appeal C Final	
9.	. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:	
If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.		
10.	.0. How was matter resolved: Decision	
11.	1. Resolution Date (MM/DD/YYYY): 11/19/1974 Exact Explanation If not exact, provide explanation:	
12. Resolution Detail:		
	A. Were any of the following Sanctions Ordered? (Check all appropriate items):	
	— Indictal y/ I life	nt: \$ 25.00
		gorgement/Restitution
		se and Desist/Injunction
	□Bar □Sus	pension

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- B. Other Sanctions Ordered:
- C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against *applicant* or *control affiliate*, date paid and if any portion of penalty was waived:

FINE IN THE AMOUNT OF \$25.00. NO OTHER INFORMATION IS AVAILABLE DUE TO THE AGE OF THE COMPLAINT.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates. (The information must fit within the space provided.)

BD - CIVIL JUDICIAL DRP

No Information Filed

BD - BANKRUPTCY DRP

No Information Filed

BD - BOND DRP

No Information Filed

BD - JUDGMENT LIEN DRP

No Information Filed

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